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J. Randall Wheaton  
*James Madison University*

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# STRUCTURAL PHENOMENA AS AGENTS OF TEXT EXPRESSION IN A PAIR OF SONGS FROM SCHUMANN'S *LIEDERKREIS*, OP. 39\*

J. RANDALL WHEATON

After a lifetime of achievement in tonal theory so original and luminous that it would rival that of any musical thinker in the last four hundred years, Heinrich Schenker (1868–1935) bequeathed to the world a body of work that could hardly be more fundamental to tonal music.<sup>1</sup> For a comparable feat in science, something on the order of Niels Bohr's model of the atom comes to mind (for which Bohr [1885–1962] received the Nobel Prize in physics in 1922). No tonal theorist working in the area of advanced analytical research, regardless of scholarly orientation or ideological agenda, can turn a blind eye to what amounts to Schenker's "unified field theory" for harmony, voice leading, prolongation, and structural levels, which we might consider the four forces of tonal music. Indeed, the sheer volume of his analytical work alone is so extensive that one reflexively takes note of major compositions that he never confronted, only to realize that he was limited, after all, to a single lifetime.

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\* I am deeply grateful to baritone Kevin McMillan and pianist Gabriel Dobner, my friends and colleagues at James Madison University, who kindly included me as their collaborator in a lecture-recital dedicated to a performance of the entire op. 39 cycle, which we presented at the Forbes Center for the Performing Arts in Harrisonburg, VA, on 11 November 2010. This welcome opportunity first piqued my analytical interest in this remarkable work. In addition, I also thank my student Ken Pierson for his excellent assistance in formatting the analytical figures for this article in Finale.

<sup>1</sup> As to Schenker's prodigious and well-known (if not always understood) theoretical and analytical *oeuvre*, it hardly seems necessary at this late date to provide a comprehensive citation. Instead, I refer the interested reader to the most recent bibliographies dedicated to his works and the secondary literature of his followers: David Carson Berry, *A Topical Guide to Schenkerian Literature: An Annotated Bibliography with Indices* (Hillsdale, NY: Pendragon Press, 2004); and Benjamin McKay Ayotte, *Heinrich Schenker: A Guide to Research* (New York: Routledge, 2004). Of special value from the standpoint of Schenker's own analyses is Larry Laskowski's *Heinrich Schenker: An Annotated Index to His Analyses of Musical Works* (New York: Pendragon Press, 1978).

Considering Schenker's dual career as a collaborative pianist, with years of public performances with the Dutch baritone Johannes Messchaert (1857–1922), then regarded as a master of the Lied, one such lacuna in Schenker's analytical work would be the songs of Robert Schumann (1810–56), for it is a singular fact that he analyzed or commented on only three of Schumann's Lieder, all of them from *Dichterliebe*, op. 48.<sup>2</sup> The remainder of his Schumann analyses were of instrumental works. Scholars following Schenker have turned their attention to Schumann's great song repertory, but even today there isn't much that we could describe as "analytical" in the more thoroughgoing sense of the term.

My purpose here, then, is to move in that direction by focusing on two of the songs from his *Liederkreis*, op. 39, pieces that have not only received attention in the literature (some of it problematic in my view) but that also differ in provocative and revealing ways from tonal norms, which is always interesting. Aside from offering some especially knotty analytical challenges, however, they also reveal an intimate relationship between text expression and musical structure, a phenomenon that I believe merits further study in general. For example, one typically associates text painting in the usual sense with details on the musical surface, but here I'm more concerned with musical expressions of moods, scenes, narratives, affects, and the like in poetic

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<sup>2</sup> These op. 48 songs are: "Im wunderschönen Monat Mai," no. 1; "Aus meinen Thränen spriessen," no. 2; and "Wenn ich in deine Augen seh'," no. 4. For the specific citations, see Laskowski, *An Annotated Index*. In Allen Forte's widely cited, reprinted, and justly famous essay "Schenker's Conception of Musical Structure," which first appeared in the *Journal of Music Theory* 3/1 (1959): 1–30, Forte turned to Schenker's analysis of "Aus meinen Thränen spriessen" as an illustrative example. One is immediately taken by the essay's characteristic and welcome pedagogical tone, both forthright and unapologetic. This is apparent in his opening remarks: "[A]lthough a large proportion of his [Schenker's] published work is available, many musicians remain uninformed regarding its extent, significance, and pertinence to current problems in music theory. . . . The purpose of this article is therefore to present an introductory account of his conception of musical structure, to explain why it should be recognized by serious musicians, and, beyond this, to indicate how it might contribute toward the solution to certain problems which stand before music theory today" (1). Fortunately, these deficiencies are less pronounced now than they were in 1959, but there is still much to do. This article was reprinted in *Readings in Schenker Analysis and Other Approaches*, ed. Maury Yeston (New Haven, CT: Yale Univ. Press, 1977): 3–37; and excerpts including the Schumann commentary later appeared in the Norton Critical Score for Schumann's *Dichterliebe*, ed. Arthur Komar (New York: W. W. Norton, 1971): 96–104; and in *Engaging Music: Essays in Music Analysis*, ed. Deborah Stein (New York: Oxford Univ. Press, 2005): 30–35.

texts that are embodied on deeper levels of musical structure, including at the middleground and even background levels. This is roughly analogous to the idea that motives—those atomic associations of tones that are normally observed at or near the surface of a work—can also penetrate into deeper structural levels, a phenomenon that Allen Forte explored in his groundbreaking essay on “middleground motives” in Mahler’s Fifth Symphony.<sup>3</sup>



As devotees of Schumann’s music will know, his *Liederkreis*, op. 39, is a song cycle consisting of settings of twelve poems by Joseph Freiherrn von Eichendorff (1788–1857), a work that emerged during that great turning point in the composer’s life traditionally referred to as his “year of song.” The amount of musicological attention devoted to the historical, biographical, journalistic, epistolary, documentary, hermeneutic, speculative, and occasionally even musical evidence that might account for this titanic surge in creativity and abrupt change in Schumann’s compositional direction is remarkable. By now, asking the burning question is virtually *de rigueur*, with Eric Sams presenting the case in, perhaps, the most arresting way:

For ten years Schumann wrote nothing but piano music. Then for twelve months he wrote nothing but songs. This has always seemed to the lay mind quite fantastic. But critics generally take it all very much for granted. “The great song-year” they call it, as if this were somehow the natural development of every composer of piano works—as if Chopin, for example, might easily have had a great song-year, and missed one only by accident. . . . [I]n the twelve months beginning 1 February 1840, he [Schumann] wrote over 160 vocal works, including at least 135 of the 246 solo songs in the complete Peters Edition. This is surely a world record total of vocal composition in a twelvemonth; and its achievement by a composer who depreciated vocal music [at an earlier stage in his career] seems to call for some explanation.”<sup>4</sup>

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<sup>3</sup> Allen Forte, “Middleground Motives in the Adagietto of Mahler’s Fifth Symphony,” *19th-Century Music* 8/2 (1984): 153–163.

<sup>4</sup> Eric Sams, “Schumann’s Year of Song: A 125th Anniversary Contribution,” *Musical Times* 106/1464 (1965), 105–106.



The common, albeit simplistic, idea still persists that this meteor-like compositional flowering sprang from Schumann's profound relief in 1840 that he would at last be able to marry Clara Wieck (1819–96), thus finally overcoming years of ever more bitter and recalcitrant objections from Clara's domineering and possessive father, Friedrich Wieck (1785–1873), who had also been Schumann's cantankerous piano teacher in Leipzig. This, however, is but a partial explanation, and after all, to ask the perennial question, why songs? Why not concertos or violin sonatas? The mystery is all the more perplexing when we consider the somber and sometimes forbidding character of the texts for a number of the Lieder in op. 39. "Die Lorelei," the legendary witch, shows up in "Waldesgespräch" ("Forest Conversation," no. 3); the beautiful bride is weeping in "Auf einer Burg" ("In a Fortress," no. 7); the poet's sweetheart has long been dead in "In der Fremde" ("In a Distant Land," no. 8); and we are warned to be mistrustful and on our guard against night terrors in "Zwielicht" ("Twilight," no. 10). Surely these couldn't be wedding gifts; and, indeed, they weren't: *Myrthen*, op. 25, a collection of twenty-six settings of texts by a variety of poets, many of which are love songs, was dedicated to Clara and clearly served this very purpose.

There is, however, a rather neat and, I believe, historically convincing explanation for Schumann's song year, and it appears most compellingly in Jon W. Finson's *Robert Schumann: The Book of Songs*:

He [Wieck] decried Schumann's financial insecurity, citing the readiest objection at hand: Robert's lack of success as a composer (later charges also included an unsubstantiated history of alcoholism). Schumann did everything he could to counter the older man's objections, not realizing at first that no amount of persuasion would avail. His desires for Clara and for success in his career naturally became intensely interwoven, and eventually he schemed with his future bride (also completely smitten) in a lawsuit [which he eventually won in July 1840] to circumvent the necessity of her father's consent. The task was twofold: to demonstrate public recognition of Robert's compositional efforts and in doing so to prove his ability to support a family.

Robert, with Clara's help, made various efforts to bolster his reputation [and] . . . the one that held the most promise for a quick and remunerative outcome involved songs. To this end, in 1839 Robert and Clara began collecting verse in a manuscript labeled "Copies of Poems for Composition," which the couple maintained over the course of their marriage. Clara recorded most of the 169 entries representing 34 authors (only 61 texts appear in Robert's hand), and . . . [t]he collection reveals how the couple's passion for each other and for Robert's success became interdependent. In one sense the book represents a partial blueprint for their vocal projects (though in the event Robert set 94 of the poems to Clara's 7). In another sense it presents a monument to a romance. . . .

Having deliberately prepared a project designed to further his career and also to win the legal battle for Clara's hand, Robert began to compose solo songs with a vengeance in 1840. He produced more than 125 (half of his output in the genre) over the course of ten months, and he published a number rather quickly for relatively lucrative fees.<sup>5</sup>

The reality is that Clara and Robert fully collaborated in choosing these poems, and one could surmise that they found them appealing not just as potential texts for solo songs but also for their particular literary and artistic merits. In other words, a melancholy or strange text might have been included for its sheer aesthetic value and interest, a matter quite apart from the happiness that they were experiencing at that time in their personal lives. This longstanding biographical conundrum presumably solved, I would add only that the composer's deep well of imaginative resources will always remain a mystery, because only genius could account for that.



I turn now to the Lieder from op. 39 mentioned above, and with a mind toward exploring the innovative techniques that Schumann employs to create musical settings that so affectingly express the texts, some of which I believe Schenkerian analysis is best suited to reveal. The songs are "Auf einer Burg" (no. 7) and "In der Fremde" (no. 8). Regarding the cycle as a whole, I would add that there are a few internal correspondences—for example, songs nos. 1 and 8 are both titled "In der Fremde," and certain motivic ideas do recur in different settings, most notably

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<sup>5</sup> Jon W. Finson, *Robert Schumann: The Book of Songs* (Cambridge, MA: Harvard Univ. Press, 2007), 19.

between “Auf einer Burg” and “In der Fremde”—but, each poem invokes its own narrative and psychological world, thus allowing Schumann to unleash the full force of his creative powers to depict in music a variety of scenes, emotions, and, at times, even individual words. In my hearing, however, “Auf einer Burg” is a world apart from other songs in the cycle, and for an extraordinary reason: it is structurally inseparable from the following song, “In der Fremde.” David Lewin (1933–2003), who offers a plethora of thought-provoking insights regarding both the text and the music for “Auf einer Burg,” tantalizingly flirts with this very possibility but ultimately conceives an analysis that is radically different from my own.<sup>6</sup> That our views diverge, however, is not important; the genuine point of interest is that specific details in the piece inspire different hearings, especially when critical responses are influenced by contrasting, *a priori* analytical dispositions.

To depart from my narrative for a moment, I would add that one of the central and inspiring aspects of Lewin’s analytical thinking and teaching was that, even though he often invoked large swaths of the history of music theory, seemingly at will, to bolster his ideas, his main analytical focus was always centered on the listener’s experience.<sup>7</sup> He would say, “But it doesn’t really sound that way, does it?,” and at least some students would have to rethink their too-facile assumptions. Given the wide breadth of his theoretical and analytical interests, one wasn’t surprised that he seemed to confront Schenkerian analysis with a degree of caution and reserve, and while he might occasionally reflect on Schenkerian thinking, as he does in his “Auf einer Burg” essay, he never fully embraced the approach. My guess (and it is only that) was that he

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<sup>6</sup> David Lewin, “Auf einer Burg,” published as Chapter 9 in his *Studies in Music with Text* (New York: Oxford Univ. Press, 2006), 169–179.

<sup>7</sup> The present author, while a doctoral student in music theory at Yale, studied with David Lewin, who had just joined the faculty of the Department of Music in 1980.

worried about being boxed in by a “system,” when his own intuitions and aural responses might suggest different things that he found more captivating.

Because I don’t share this reservation, either constitutionally or by training, and in light of my alternative hearing, a lively analytical dialog and debate over “Auf einer Burg” would be welcome, indeed; and, if this were possible, Lewin would no doubt continue to explicate, prod, and challenge in his ever inventive and insistent way. If this were an analytical forum, we might title my analysis and commentary “A Response to David Lewin,” but alas, all that we have now is his text. Therefore, with the reader’s indulgence, I will undertake to explore my own hearing first and then gradually to begin a conversation of sorts that contrasts our respective analytical vantage points. As an expedient, I will henceforth cite quotations and figures from Lewin’s essay with page numbers directly in the text. Finally, knowing that it would fully repay the effort, I would strongly encourage the reader to review Lewin’s thoughtful essay.

#### “AUF EINER BURG,” NO. 7

The phantasmagorical text for “Auf einer Burg” features a knight who has been asleep at his castle post for hundreds of years and has turned to stone. Meanwhile, far below in the valley, a wedding barge of merry guests and musicians proceeds down the river, but the lovely bride is mysteriously weeping. The full text with English translation appears in Figure 1; the score is reproduced in Figure 2.<sup>8</sup>

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<sup>8</sup> In the ensuing musical commentary, when register is significant I follow Schenker’s notational convention: middle C and up are  $c^1$ ,  $c^2$ ,  $c^3$ , etc., and those extending down from  $c^1$  in order are  $c$ ,  $C$  (cello  $C$ ), and  $C_1$ ; the notation for the remaining pitches in each octave are analogous. In referring to pitches generically (that is, to pitch classes), I use plain uppercase letters.

**FIGURE 1.** Schumann, “Auf einer Burg,” op. 39/7: text  
(translation from Lewin, “Auf einer Burg,” 169)

Auf einer Burg	In a Fortress
Eingeschlafen auf der Lauer Oben ist der alte Ritter; Drüber gehen Regenschauer, Und der Wald rauscht durch das Gitter,	Fallen asleep on his watch up there is the old knight. Yonder, rainstorms pass by, and the woods rustle through the lattice-work.
Eingewachsen Bart und Haare Und versteinert Brust und Krause, Sitzt er viele hundert Jahre Oben in der stillen Klause.	Overgrown his beard and hair, petrified his breast and ruffles, he has been sitting many centuries up there in his silent cell.
Draussen ist es still und friedlich, Alle sind ins Tal gezogen, Waldesvögel einsam singen In den leeren Fensterbogen.	Without, it is still and peaceful; everyone has gone down into the valley. Solitary wood-birds sing in the empty window-arches.
Eine Hochzeit fährt da unten Auf dem Rhein im Sonnenscheine, Musikanten spielen munter, Und die schöne Braut, sie weinet.	A wedding party is traveling down there along the Rhine, in sunshine, Musicians are playing gaily. and the beautiful bride—she is weeping.

To begin, the text projects stark contrasts that immediately captivate our imagination and raise not a few questions regarding the poem’s intentions and meaning.<sup>9</sup> Lewin offers a litany of these at the outset of his essay:

The statue is “oben” in a high fortress, surrounded by woods; the wedding party is “da unten” in the river valley. The statue is old and male; the bride is young and female. The statue “lives” on in the past; the bride is very much in the present—and as a bride, she also invokes our sense of the future. The statue is a warrior, the bride a civilian. The statue, white with petrification, remains rigid and frozen; the bride, in her white gown, is pliant and warm. The statue is confined and motionless; the bride moves swiftly along the river. The statue is in a dark chamber; the bride is in bright sunshine. The statue is alone; the bride is surrounded by a noisy throng of people. A few birds pipe mournfully to the statue, and they are “solitary”; the musicians of the wedding party play lustily for the bride. . . . Rainstorms pass by the statue “over yonder” (drüben); the weeping of the

<sup>9</sup> As to what might be behind the text, I would direct the reader to Karen A. Hindenlang’s informative article “Eichendorff’s *Auf einer Burg* and Schumann’s *Liederkreis*, Opus 39,” *Journal of Musicology* 8/4 (1990): 569–587. (This source is also cited in Lewin’s “Auf einer Burg” essay, 169–170, n. 1.) In her exploration of the German legend of the Kyffhäuser Mountain, Hindenlang identifies the most likely identity of the knight, who the bride might symbolize, and the sources for much of the imagery in Eichendorff’s poem.

FIGURE 2. Schumann, "Auf einer Burg," op. 39/7: score

Adagio  
*p*

Ein - ge - schla - fen auf der Lau - er o - ben ist der al - te Rit - ter, drü - ben ge - hen

Re - gen - schau - er, und der Wald rauscht durch das Git - ter. Ein - ge - wach - sen

Bart und Haa - re, und ver - stei - nert Brust und Krau - se, sitzt er vie - le hun - dert Jah - re

o - ben in der stil - len Klau - - se.

FIGURE 2. (continued)

22 *p*

Drau - ßen ist es still und fried - lich, al - le sind in's Tal ge - zo - gen,

26

Wal - des - vö - gel ein - sam sin - gen in den lee - ren Fen - ster - bo - gen.

30

Ei - ne Hoch - zeit fährt da un - ten auf dem Rhein im Son - nen - schei - ne,

34 *ritard.*

Mu - si - kan - ten spie - len mun - ter, und die schö - ne Braut, die wei - - net.

bride, which also passes him by, is by way of contrast very much in the foreground of the poetic scene.

In this connection, one may reasonably look for aspects of the song that project musical contrasts of a similar sort. The present chapter proposes such a contrast, specifically an antithesis between “ancient” e-Phrygian modality and “modern” functional a-minor tonality [170].

In a note, Lewin cites Deborah Stein, “who pointed out many of these antitheses in a lecture on Schumann’s Eichendorff *Liederkreis* given in November 1983, at a meeting of the Society of Music Theory in New Haven” (170, n. 3); and he further observes that she “proposed a contrast between two functional keys, e minor and a minor, the music modulating from one to the other during each of the two strophes. . . . I modify her idea because I cannot hear a modulation from functional e-minor at the beginning of the song, to an unambiguous functional a-minor at its end. The final cadence of the song, in my hearing, must be ambiguous as to E or A centricity, and E centricity there must perforce be Phrygian, not functionally tonal” (170–171, n. 4).

To reveal my own hand prematurely, my hearing is strongly aligned with Stein’s, but I also don’t view the work’s progress as a simple modulation from E minor to A minor—indeed, the strongly modal nature of “Auf einer Burg” seems rather to compromise the very concept of “modulation.” To illustrate my sense of this, a foreground sketch of the opening nine measures, including an overlay of motivic identifications, will be helpful (see Figure 3).

The piece opens solemnly with its characteristic B–E falling fifth, here labeled as motive  $\alpha$ , in points of imitation. Although this could just as well be a harbinger of tonality (E minor) as of sixteenth-century modal music, the sheer barrenness of the sound is really emblematic of the older era.<sup>10</sup> This begins Schumann’s invocation of the “ancient” and underscores the poem’s

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<sup>10</sup> The pitch class with secondary status in Phrygian mode is of course C, the reciting tone, not B. The familiar theoretical rationale is that if B were to assume this role, the chance of the *diabolus in musica* arising with the



**FIGURE 3.** “Auf einer Burg,” mm. 1–9: foreground/middleground sketch with a motivic analysis

**A**

1. 2. 3. 4. 5. 6. 7. 8. 9.

$\alpha$   $\beta$   $\gamma$   $\beta$   $\alpha$   $\beta$   $\gamma$   $\beta$   $\gamma$

e: I — IV<sup>7</sup> — V I — 6 IV C: VI V<sup>6</sup> "I<sup>7</sup>" IV V I—

**B**

9.  $\alpha$

I  $\beta$  6

imagery of a knight “fallen asleep on his watch” (“Eingeschlafen auf der Lauer”). Appropriately, there is no form of dialog between the voice and piano parts, which essentially double the melodic contour. Only the fifth’s subsequent reversal of direction by step for the ascending third E–F $\sharp$ –G, which is labeled motive  $\beta$  and also treated imitatively, supplies us with a fully triadic outcome. But this alone wouldn’t be enough to concretize a key, E minor or otherwise, and Schumann’s tantalizing way of compromising incipient cadential motions that might more convincingly establish tonal key centers is very much a part of his old-versus-new aesthetic gambit, which pits the current reality of the wedding party’s revelers and weeping bride against the “observing” knight, frozen in a time long past.

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second degree of the mode would be all the more likely. However, given that Schumann was a tonal listener, just as we are, this point is a nicety, and possibly a pedantic one at that.

This said, the cues for the tonal listener, while unfailingly clouded over in a variety of unusual ways, are nonetheless unmistakable. If the opening gestures fall under the rubric of e:I, then the imitative e–g third in m. 3, the bass skip down to A, and the middleground neighbor on c<sup>2</sup> in the descant establish IV<sup>7</sup> as a putative dominant preparation. (Note that g, the terminal member of motive  $\beta$  in imitation, assumes the role of the seventh.) The dominant arrives as anticipated in m. 4, with V lending support to the main note being prolonged in the structural upper voice, the returning b<sup>1</sup>.

The harmonic action, as the expected tonic arrives in fundamental position, is incontrovertible, but the cadential effect is also measurably softened by the accompanying skip in the descant from b<sup>1</sup> to g<sup>1</sup>. Indeed, I regard this falling-third melodic cadence as a motive in itself, labeled  $\gamma$  in Figure 3, and further sense that it's just another of the devices that Schumann concertedly employs to mitigate any strong impression of tonal arrival. Another byword here is sheer compression, because we receive no more of A minor at the outset of “Auf einer Burg” than this. In short, this four-measure phrase lies at the opposite end of the spectrum from the fulsome expansion of a key area that we'd expect in, say, the exposition of a sonata. The question, then, is whether such a diminutive tonal framework compromises one's sense of tonality as well, and it's clear that the next phrase raises the same question.

As the sketch in Figure 3 indicates, after the  $\gamma$  cadence in m. 4, b<sup>1</sup> returns as the structural upper voice at the outset of the next phrase (m. 5). Meanwhile, the bass supplies motive  $\beta$  (E–F<sup>#</sup>–G) in combination with motive  $\alpha$  in the descant, and all of this continues the effect of e:I. Indeed, the ongoing progress from motive  $\beta$  in the bass leads again to A, and with the concomitant imitations of *b* in the upper parts, our immediate sense is that IV has returned, harkening back to m. 4. Here, though, a new bass note, B, arrives with the terminal G of motive  $\beta$ ,

and the following C-major triad implies a different, albeit tentative, key center: C:VI–V<sup>6</sup>–I. As the sketch shows, even after B resolves to C in the bass, one still feels the persistence of the abandoned b<sup>1</sup> in the upper voice, which is why b<sup>1</sup> appears as an implied note over the nascent tonic. Schumann seems to encourage this hearing, not only because b<sup>1</sup> is, in a sense, “left hanging” but also because of the arrival of a<sup>1</sup> in m. 7, which would, indeed, resolve this lingering dissonance. The byway to C major begins tenuously enough, but the unambiguous IV–V–I close of the phrase, supporting a<sup>1</sup> and g<sup>1</sup> in the descant, fully secures the tonal argument.

The imitative use of a limited repertoire of motives unifies both phrases, but they also parallel one another harmonically in their cadence patterns and melodically with their gapped-third phrase endings (one hears the second motive  $\gamma$  as an echo of the first). As suggested above, the phrases have another common trait in that each asserts its own key in the form of a harmonic microcosm that seems entirely local in scope, at least initially. To my hearing, this psychologically sets the stage aesthetically for the rest of the poem, because there is a sense of progress that simulates the passage of time for the knight and also a feeling of sameness in the unity of the phrases, part and parcel of the knight’s long watch at his post.

Although these phrases are governed by different key centers, one can hardly miss the inexorable descent from the prolonged b<sup>1</sup> in the descant to a<sup>1</sup> and g<sup>1</sup> at the end of the second phrase. In fact, this higher-level structure is nothing less than a middleground expression of motive  $\beta$  in inversion.<sup>11</sup> I will add that Figure 3 is intentionally noncommittal concerning the middleground level, because a more definitive analysis is better left to a separate graph. The question hinges on reading the inverted motive  $\beta$  as a linear progression, and Figure 4 speaks to this directly.

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<sup>11</sup> A pointed reminder of Forte’s “Middleground Motives,” cited above in n. 3.

FIGURE 4. “Auf einer Burg,” mm. 1–9: alternate middleground interpretations

Figure 4 presents two alternate middleground interpretations, labeled 'a.' and 'b.', of the musical passage 'Auf einer Burg' (mm. 1–9). Each interpretation is shown on a grand staff (treble and bass clefs). Above the treble staff, a bracket labeled '3-prg.' (3-part progression) spans measures 1, 7, and 8. Below the bass staff, a bracket labeled 'III' spans measures 1, 7, and 8. The two interpretations are compared with 'vs.' between them.

Here I refer to one of the axiomatic Schenkerian principles, namely that the head- and tailnotes of a linear progression must agree with the harmonic goal.<sup>12</sup> One question, though, is whether the harmonic context in a descending progression could center instead on the initial harmony, so that the tailnote would agree with it, while the headnote might be at odds with the closing harmony. In this case, the terminal harmony would serve a more local role, merely lending support to the tailnote. If this theoretical alternative has any viability, then the ineluctable consequence is that the initial harmony would emerge as the one being prolonged on a higher structural level, not the closing harmony. (As an atypical variation of the norm, this might bear a resemblance to the concept of a back-relating dominant, one that sensibly refers to the foregoing music but that has no palpable harmonic relation to the music that follows, which might begin, for example, with the II chord.) Figure 4, then, suggests two possible readings for the middleground in mm. 1–9 (the only two, in my estimation).

<sup>12</sup> For students of Schenkerian analysis, I quote Allen Forte and Steven E. Gilbert: “[T]he general rule . . . is that prolongational lines, whether ascending or descending, prolong their topmost structural note. Recall also that ‘structural’ means, essentially, that the note in question is in agreement with the underlying harmony. What this means, in turn, is that the interval spanned by a linear progression will be a component of the harmonic function relevant to the context. The test for the validity of a linear progression rests, therefore, on whether the interval between the starting and ending points agrees with the harmonic goal of the passage” (Forte and Gilbert, *Introduction to Schenkerian Analysis* [New York: W. W. Norton, 1982], 237).

Both sketches assume the global key of A minor, and both end with  $g^1$  supported by the tonicized III, an alignment that requires some preliminary explanation. I return to motive  $\gamma$  in m. 8 (see Figure 3) because, as previously mentioned, this is one of Schumann's contrivances for avoiding direct melodic reference to  $\hat{1}$  at a cadence (here  $c^1$ ), thus quashing any strong sense of arrival or formal demarcation; yet, motive  $\gamma$  in m. 8 also ensures that  $g^1$  won't sound over the tonic, either. This is no trivial matter, because, as witnessed in Figure 4,  $g^1$  is a *sine qua non* for the linear continuity of the opening pair of phrases. In short, the melodic and harmonic goals in this section are out of phase on the absolute foreground, a disjunction that adds yet another touch of tonal uncertainty to this passage (again, a mirror on the perplexing text), although I strongly sense the persistence of  $g^1$  when the local tonic arrives. The following section of music further encourages this hearing, because it begins in m. 9 with an unfolded fifth from  $g^1$  down to  $c^1$ , which is supported by the same harmony that closes the previous phrase, C:I. Thus, the "missing"  $g^1$  at the end of the second phrase literally sounds in m. 9, although I hasten to add that the latter is truly the beginning of a new section of music with its own distinctive structural role to play. These subtle beginning and ending details all suggest that  $g^1$  is implied over the local tonic chord in m. 8, motive  $\gamma$  notwithstanding, thus justifying its inclusion over I in the middle-ground sketches of Figure 4.

Given this, and returning to questions that more directly concern the middleground structure itself, observe that the head- and tailnotes in Figure 4a both agree with the harmonic goal, but only if this is taken to be the dominant modulating to the mediant key. Adhering to the norm in this case, however, turns the following local tonic into a kind of secondary outcome, because the headnote,  $b^1$ , agrees only with C:V. Yet, if we extend the progression to the new tonic, as in Figure 4b, then the tailnote conforms to the prevailing harmony, while the headnote,  $b^1$ , is

completely at odds. The concern is that we might find the first, “technically correct” analysis less satisfying, because it brings the forward momentum of the passage up short, forcing it to end, as it were, with the local V. On the other hand, while the second reading goes against the norm, it also seems more satisfying in the sense that it encompasses a complete tonal motion, namely one that leads to C:I. But again, the crucial point is that if this particular reading is to make sense, the harmony being prolonged on a higher structural level can only be the initial chord, the minor dominant in A minor. As suggested above, this would automatically force the tonicized III into a subservient role that operates on a lower level than a:V $\sharp$ .

In light of the foregoing discussion, I turn now to Figure 5, which offers a foreground–middleground analysis of the following passage in mm. 9–21. Formally, mm. 1–16 constitute the first strophe, with mm. 22–37 being a written-out repeat (with only minor exceptions). The piano interlude in mm. 18–21 stands apart in the sense that it isn’t repeated. For context, I will add that the music in mm. 9–17 is the setting for the description of the knight’s vigil lasting for centuries, while the repetition beginning in m. 30 provides the setting for the cheerful wedding party drifting down the river in the valley below, including the mysteriously weeping bride. Both poetic scenes are concerned with motion, the passage of time and then sailing down the river. How this relates to the middleground structure is a central concern.

While one might initially find the role of the bass an analytical challenge, the upper pair of voices projects a series of unfolded intervals that is aurally transparent, the result being a 5–6 linear-intervallic pattern (hereafter, LIP). Graphically, I enclose such secondary patterns as these in parentheses, as in Figure 5, and for now will leave the main outer-voice pattern to a higher-level sketch. Recurrent contrapuntal patterns like this usually take the reins out of harmony’s hands, so to speak; yet, as the analysis confirms, the logic of harmonic function still obtains to a

FIGURE 5. “Auf einer Burg,” mm. 9–21/22–37: foreground/middleground sketch

The musical score is divided into three sections:

- Measures 8-14:** The upper voice features a melodic line with notes 8, 9, 10, 11, 12, 13, 14. The lower voice features a bass line with notes 6, 5, 6, 5, 6, 5, 6, 7. Chords are indicated below the staff: C: V, I, IV, II, V, III<sup>6</sup>, VI, VII<sup>6</sup>.
- Measures 15-21 (Piano Interlude):** The upper voice features a melodic line with notes 15, 16, 17, 18, 19, 20, 21. The lower voice features a bass line with notes 6, 5, 4, 3, 2, 1. Chords are indicated below the staff: VII<sup>6</sup>, VII<sup>4</sup>, V, I, VI, IV<sup>7</sup>, V, I.
- Measures 22-37 (Reprise (A+B')):** The upper voice features a melodic line with notes 22, 23. The lower voice features a bass line with notes 6, 5, 4, 3, 2, 1. Chords are indicated below the staff: alpha, beta, alpha.

degree, and the key of C major prevails all the way until the VII<sup>6</sup> chord in m. 15. As indicated, the pattern itself takes the descant's  $g^1$  as its starting point and then ascends gradually by step over the course of the passage to  $b^1$  (supported by III<sup>6</sup>) in m. 13. With the arrival in m. 14 of the stemmed A in the bass (bringing in the fifth-related VI), the upper voice moves to  $c^2$ , in a sense one step too far, so that this functions both as a middleground neighbor note and as a seventh

over the fixed bass on D. (Schumann includes a suspended ninth on  $e^1$ , as well, which is prepared by the preceding VI chord.) When both dissonances resolve over D in m. 15, the resulting VII<sup>o6</sup> also serves as a pivot chord, namely II<sup>o6</sup>, retrospectively heard as a dominant preparation leading to the global tonic, the still nascent key of A minor.

Needless to say, this is a long time in coming, and the entire harmonic scenario of the opening music is highly atypical, but the wait also evokes the centuries-old tenure of the poem's sentinel. I will add that this miniature B section is particularly rich in dissonances, and the poem's imagery of time slowly passing is perfectly bound up in the deliberate progress of the LIP, which is Schumann's setting for almost the entire second stanza: "Eingewachsen Bart und Haare / Und versteinert Brust und Krause, / Sitzt er viele hundert Jahre / Oben in der stillen Klausen." Melodically, the climactic note in this passage is  $c^2$  in m. 14, the expressive middle-ground neighbor to  $b^1$  and the ideal setting for the word "Jahre" in the phrase "Sitzt er viele hundert Jahre." When this music returns in the second strophe, this peak tone sets the word "munter" in the line "Musikanten spielen munter," an appropriate climactic moment for musicians playing gaily. The ambiance of fixed scenes like these is all the more enhanced by Schumann's extended pedal point on C, which begins with the C-major triad that opens this digression and is doubled at the octave in the inner voices all the way up to m. 14/35. Like all pedal notes, this one falls in and out of agreement with the succession of harmonies, perhaps the most piquant clash of all being the juxtaposition of B, C, and D all over G in m. 12/33 ("V").

I have postponed discussing the relation of the bass line to the descant, because it makes the whole even more complex and the foregoing account of the upper parts should help to clarify matters. There are two key insights in this regard. First, motive  $\beta$  in m. 9 sets the trend, because the ascending third, filled with a passing note, outlines a harmonic interval that sustains the first



chord, C:I. This is followed by sequential  $\beta$  motives in the bass that function in similar but distinctive ways. The second point (including the difference) is that each motive straddles *pairs* of unfolded intervals in the upper parts, the ingenious consequence being that each unfolding receives two bass notes, and when one of them is a passing tone in the motive, that tone is dissonant with respect to the interval above. Given this underlying principle and taking our cue from the first iteration of  $\beta$ , where E forms a tenth with the descant's  $g^1$ , the ascending sequence of bass motives creates a stepwise pattern of underlying contrapuntal supports that are identified with stems in Figure 5. The result is that, despite the complexity of the overall texture, the main LIP is a series of tenths. This, combined with the secondary 5–6 pattern and the ascending bass ([C]–E–F–G–A), governs the progress of the entire passage. A higher-level sketch will show how this relates to the larger musical context.

With the journey of ascending patterns at an end in m. 14, Schumann next lavishes practically surreal attention on the final arrival of the global dominant, a development that takes fully three measures to materialize entirely without any fetters. Given the extended wait, luxuriating in this chord actually makes sense on the grounds of structural balance alone. In my reading, the motions in the upper voice amount to a middleground unfolding from  $b^1$  in m. 15 to  $g^{\sharp 1}$  at the end of m. 17, but the underlying voices persistently toy with what are surpassingly common and straightforward voice-leading norms, establishing one tonally loaded implication after another only to delay their realizations one after the other. As we listen, an internal dialog naturally comes into play.

For instance, once  $b^1$  regains its rightful place in m. 15 as the main note in the structural upper voice, the skip in the bass and the descending stepwise motions in the upper parts set up a German-sixth chord, and we have every expectation that the supporting F and  $d^{\sharp 1}$  above will

expand to octave Es for a cadential  $\frac{6}{4}$ . The first surprise is that F remains in place while  $d^{\sharp 1}$  and  $c^1$  both descend by semitone, thus forming a diminished-seventh chord, and in the least common position, too:  $VII^{\circ 4}_2$ . At that point, the bass could slip down a semitone to E for a fully figured dominant-seventh chord. Instead, the  $\frac{6}{4}$  over E materializes after all, but only following the upward resolution of  $g^{\sharp 1}$  to back to  $a^1$ , as if the former were a retardation, not the expected tone of resolution. With the cadential  $\frac{6}{4}$  chord finally in place (the first  $G^{\sharp}$  was a deception), we anticipate the dominant chord without any constraints, but even before the resolution  $4-3^{\sharp}$  can achieve the all-important leading tone in the descant, once and for all, Schumann pulls the rug out from under us harmonically and lets the bass resolve prematurely to A. The aural signal is that the tonic has already arrived, even though a stable dominant chord has yet to emerge fully! In fact, he contrives to sustain the latent image of the dominant all the way into m. 18. This might have been a clarifying moment with respect to the tonality of this work, notably ambivalent up to this moment, but with a sleight of hand of this magnitude, Schumann has actually succeeded in blending the global dominant and following tonic almost to the point where they sound as one.

After such a tortuous path, the listener is so inured to experimentation and frustrated expectations that a straightforward resolution of this critical dominant chord would have seemed glaringly out of place. Indeed, if the unfolded  $b^1-g^{\sharp 1}$  third were, say, to collapse on a unison  $a^1$  over the tonic, the piece would effectively crash to an abrupt and premature end. An alternative might have been to let the leading tone resolve normally while moving  $b^1$  to  $c^2$  in the descant, an outcome that would at least imply a musical continuation; but Schumann proceeds to make still more unexpected choices.

For those who hear “Auf einer Burg” as I do, namely as a tonally aberrant work that is still fundamentally governed by tonal principles, the upcoming piano interlude (mm. 18–21) will

sound decisive not only because it functions something like a codetta for the first strophe but also because it secures our ultimate sense of a key center, long-awaited and deep-seated though it may be. This, in turn, puts all of the competing tonal forces into a specific context, to be discussed a bit later, and it also strongly predisposes our harmonic expectations at the close of the song. This said, Schumann remains true to the work's aesthetic and opens the door to this crucial passage in an enervated, closure-denying fashion, with two noteworthy events taking place in m. 18.

First,  $g^{\sharp 1}$  doesn't resolve straightaway but is suspended over the tonic A in m. 18—this being part of the dominant's "latent image" referred to above. Second, the inner-voice  $e^1$ , a common tone in the V+I complex of m. 17, overlaps to  $e^2$  across the bar, making it the highest-sounding, most melodically prominent note in m. 18, despite being the least stable member of the tonic triad. Although the bass A arrived prematurely in the metrically weak second half of m. 17, at least it remains as the prevailing bass at the beginning of m. 18, but by the time  $g^{\sharp 1}$  finally resolves to  $a^1$  at the end the bar, motive  $\beta$  in the bass has already ascended to C. The consequence is that  $\hat{1}$  receives its literal support not from the more stable tonic in root position, but from  $I^6$ , yet another way to obfuscate what might be have been a perfect authentic cadence.

In summary, the definitive harmonic and melodic goals are out of phase, and the cadence is greatly weakened on both fronts for metrical reasons. Again, delaying tactics in the voice leading, combined with the rhythmic de-accentuation of motions that normally engender a sense of closure, all provide the musical backdrop for the knight's wait of "many centuries." Nonetheless, no one could be misled about the tonal centrality of A, and its continuation in the brief piano interlude makes this impression even stronger.

The remainder of the interlude, sketched analytically in Figure 5, uses motive  $\beta$  in the inner voice to move the tonic  $a^1$  up to  $c^2$ , paired with the falling fifth from  $e^1$  to  $a$  in the bass, which is motive  $\alpha$  and a reference to the opening of the piece. The harmonic progression leads to VI and then IV<sup>7</sup> in support of the descant's  $f^2$ , which functions as a low-middleground neighbor embellishing  $e^2$ ; and the descending melodic-third cadence that follows, familiar to us as motive  $\gamma$ , takes the prolonged  $e^2$  down to  $c^2$ , respectively supported by  $a:V$  and I. As noted earlier, the effect of motive  $\gamma$  is to prevent  $\hat{1}$ , here global in significance, from entering the fray at all, because it would naturally engender a strong sense of melodic closure. This leaves us with only  $\hat{5}$  and  $\hat{3}$  in the descant, and we can say that  $c^2$  takes priority over  $e^2$  on a higher structural level, because it provides the immediate stepwise nexus to  $b^1$ , the opening melodic tone in the repetition of the first strophe (sections A and B, mm. 22–37).

As promised, it will be helpful at this juncture to explore the broader context of tonal forces in this work and to suggest how they might lead to a convincing model for Schumann's overall harmonic strategy, and particularly what this might reveal about this song and its relation to the following piece, "In der Fremde." Because "Auf einer Burg" opens in E minor and then moves to C major, a longer-term third relation is clearly at work. Furthermore, the piano interlude in mm. 18–21 extends this relationship by closing with an imperfect authentic cadence in A minor. All of this brings to mind the notion of a divider, so prevalent in minor-mode works, with the traditional scenario outlined in Figure 6a.

As we know, the common arrangement involves a long-term progression that leads from the tonic to the dominant, with the divider filling in the space to establish the image of a complete tonic triad cast in successive harmonic relations (for Schenker, organicism at its best). In contrast, "Auf einer Burg" spins this logic in reverse, as mapped out in Figure 6b. Here the

**FIGURE 6.** Divider scenarios, both traditional and in “Auf einer Burg”

(a) traditional divider scenario

(b) divider scenario in “Auf einer Burg”

(c) an over-simplification?

home key shows up at the end, instead, forcing the E-minor opening to assume the high-level role of a minor V chord, and with the mediant divider appearing in its usual position. This is problematic, because the most rudimentary condition for tonality would demand that the opening “dominant” ultimately be transformed into a functional chord, and while III in the traditional scenario leads to V, the active member of the harmonic axis, it is far less convincing as a precursor to I, the stable antipode. In this case, the interposition of the functional V<sup>#3</sup> would be the obligatory revision, and it strikes me as a small aural leap to imagine that the chord representing the initial key center could be transformed on a high structural level through the simple addition of the leading tone (hence my dotted slur connecting the two harmonies). If we also took into account the main note being prolonged in the structural upper voice, b<sup>1</sup>, and the embellishing middleground neighbor note, c<sup>2</sup>, which derives its harmonic support from global III, then the first sketch in Figure 6c would result, and the second one would be even more elemental.

The glaring conclusion to draw from both settings, if the reader hasn't already done so, is that this work has no *Ursatz*, even though it has authentic cadences (however woolly they may be) that succeed in establishing a set of closely related keys. The song also fully embraces tonal vocabulary, principles of voice-leading, and prolongational techniques. The question is: are the elemental settings in Figure 6c oversimplifications that trivialize the song? Lewin implies that they are, but I'll have more say about this later on when I discuss his reading of "Auf einer Burg."

One stone left unturned in Figure 6b is the closing dominant chord. Recall that the piano interlude settles clearly into A minor in mm. 18–21 and that it ends with the tonic supporting  $c^2$  in the descant, this being a middleground neighbor resolving back to  $b^1$  for the reprise of the first strophe in E minor. The written-out repeat (almost note-for-note), closes with an extended variation of this global dominant, and this ends the song; the interlude itself never returns. Referring to the score (pp. 221–222), the first elongated V takes place in mm. 15–17, and the one closing the piece appears in mm. 36–39. Having heard the well-prepared dominant progress to the key-confirming interlude earlier in the piece, the listener fully expects its return at the end to do likewise, but it doesn't.

Does the sketch for mm. 14–18 in Figure 5 (p. 230) differ in any particular ways from the analysis of its counterpart in mm. 35–39, which is presented in Figure 7? As we see, the song's ending perfectly corresponds with the earlier moment up to a point. Again, we have the pivot chord  $C:VII^{o6} = a:II^{o6}$ , which paves the way to the tonally loaded German-sixth chord; its abnormal resolution still leads to  $VII^{o4}_2$  and ultimately to the cadential  $\frac{6}{4}$  chord over E in mm. 38–39. We also still have the unfolding from  $b^1$  to  $g^{\sharp 1}$  (prolonging  $b^1$ ) as the primary motion in the structural upper voice. The difference is that in m. 17, the premature tonic enters just before the

FIGURE 7. “Auf einer Burg,” mm. 35–39: foreground analysis of the closing

C: VI VII<sup>°6</sup> (Gr<sup>6</sup>) VII<sup>°4</sup> 2 6 5 4 5 # V ?

FIGURE 8. “Auf einer Burg”: high middleground sketch

**Dominant Close - Implied Resloution:**

C: VI a: I II<sup>°6</sup> 6 5 4 5 # V I

resolution to  $g^{\sharp 1}$ , effectively melding the dominant and tonic chords, as discussed earlier. In the analogous m. 38, however, the bass descends by octave to E, simply maintaining V and bypassing any suggestion of the tonic, even though, in my opinion, we would expect it even without the earlier precedent.

Before discussing how this pregnant moment relates to the next song, “In der Fremde,” reviewing a high middleground graph for the entirety of “Auf einer Burg” is in order. This appears in Figure 8. Just to make the point again, I have the opening third progression from  $b^1$  to  $g^1$  leading to the new tonic in C, because of the strong impression that this is a complete tonal motion. As mentioned above, the headnote disagrees with the closing harmony, but the head- and tailnotes both agree with the initial harmony,  $a:V\sharp$ . If this is the main harmony being prolonged on a higher level, then all is well; and it could hardly be otherwise, because of the two key centers (e or C), E minor is the only one that could support  $b^1$ , which is the main note being prolonged in the structural upper voice. In my reading, then,  $a:V\sharp$  is the harmony that operates closer to the background level, not C:V or I.

The textural patina of the opening music doesn’t really change in m. 9, but the amalgamation of the 5–6 LIP between the upper pair of voices, a secondary pattern, and the primary 10–10 pattern formed by the descant and bass mark this passage as structurally distinctive. Its goal is to regain  $b^1$  after the descending linear progression in the opening music, and aside from being the setting for the entire second stanza of Eichendorff’s poem, it also transpires exclusively in the key of C, the mediant of A minor. These factors persuade me to label mm. 9–17 as section B, although in the absence of any notable thematic, rhythmic, figural, or other such differences, some listeners may regard mm. 1–18 as an indivisible section of music, a single strophe. As witnessed earlier, the last chord in the B-section ascent is C:VI, whose dual function



as a:I prepares us to hear the modulation to A minor in the piano interlude. Although the sketch presents a more essential image of the unfolding from  $b^1$  down in  $g^{\sharp 1}$  in mm. 15–17, it retains the pre-emptive move to I while V is still evolving. It also makes the neighboring function of  $c^2$  in the piano interlude more explicit by highlighting the connection between a:VI and I, which both support  $c^2$  before its return to  $b^1$  and E minor for the reprise of the opening music. Last, the sketch simplifies the  $b^1$ – $g^{\sharp 1}$  unfolding at the end to reveal how it differs from the analogous unfolding in mm. 15–17. As noted above, the earlier moment leads to the tonic chord and the overlapping to  $e^2$ , while the closing version obdurately remains anchored to V. The strongly implied resolution is notated but, of course, this is merely an unrealized expectation and entirely theoretical.

#### “AUF EINER BURG” AND “IN DER FREMDE”: A FUNDAMENTAL RELATIONSHIP

The score for the following song, “In der Fremde,” appears in Figure 9, and Figure 10 provides a high-level graph of “Auf einer Burg” that also sheds light on the specific details of what, at least in my hearing, is their intrinsic relationship to one another.

If “Auf einer Burg” has no *Urlinie* and no *Bassbrechung*, is it fair to say that it has no background? Yes, if by this we mean a normal tonal *Ursatz*. But as tonal-prolongational operations are clearly at work, we do have a palpable aural sense of structural levels; this includes harmonic progressions and articulated key areas, which I believe are sufficiently clear to support a structural upper voice, even though at the deepest level this consists of global  $\hat{2}$ , a single scale step. As suggested earlier, the analysis in Figure 10 has the opening E-minor triad providing the sole structural support for  $b^1$  in the opening two phrases of music (mm. 1–8). We can say, then, that the global mediant area that follows (C major) lends temporary support to the inner-voice  $g^1$

FIGURE 9. Schumann, "In der Fremde," op. 39/8: score

*Zart, heimlich* *p*

Ich hör' die Bäch-lein rau-schen im Wal - de her und

*mf*

5 hin, im Wal - de, in dem Rau-schen ich weiß nicht, wo ich bin. Die

10 Nach - ti-gal - len schla - gen hier in der Ein - sam-keit, als

14 woll - ten sie was sa - gen von der al - ten schö - nen Zeit! Die *im*  
*ritard.* *p*  
*im*  
*ritard.*

FIGURE 9. (continued)

18 *Tempo*

Mon - des-schim-mer flie - gen, als sah' ich un - ter mir das

*Tempo*

*p*

22

Schloss im Ta - le lie - gen, und ist doch so weit von hier! Als

26

müss - te in dem Gar - ten voll Ro - sen weiß und rot mei-ne

30 *ritard.*

Liebs - te auf mich war - ten, und ist doch so lan - ge tot, und

*ritard.*

34 *ritard.*

ist doch lan - ge tot, und ist doch lan-ge tot. *ritard.* *ritard.*

**FIGURE 10.** The fundamental relationship on a deep middleground level between “Auf einer Burg” and “In der Fremde”

The figure displays a musical score for two sections: "Auf einer Burg" and "In der Fremde". The score is written for voice and piano, with a treble and bass staff. The key signature is one sharp (F#), indicating A minor. The score is divided into sections: A (measures 1-8), B (measures 8-17), Piano Interlude (measures 17-21), Reprise (A+B') (measures 22-36), and "In der Fremde" (measures 36-39). The score includes various musical notations such as notes, rests, and dynamic markings. Below the score, a harmonic analysis is provided, showing the functional relationships between chords. The analysis includes labels such as a: V<sup>3</sup>, V, I, III, V, I, V, I, IV, I, V<sup>3</sup>, C: VI, a: I, II<sup>6</sup>, 6/4, 5/#, V, I, and 3-prg. The analysis also includes a bracketed note (22-36 = 1-15) indicating a structural relationship between the two sections.

and ferries it along to  $g\sharp^1$ , at which point Schumann brings in the global dominant,  $a:V$ , which supports the returning  $b^1$  in the upper voice. Once again, this is the “correction” that one senses is vital to hearing this song as a tonal work. Confirmation of the global key arrives late, indeed, but arrive it does. As noted in regard to the lower-level graph in Figure 8 (p. 238), the A-minor triad supporting the neighboring  $c^2$  in m. 21 also functions as  $e:IV$ , which prepares for the return of the opening E-minor music, again with  $b^1$  in the structural upper voice.

In retrospect, we could say that while we have a distinct sense of harmonic motion over the whole, the upper voice at the highest level truly goes nowhere. At this level, we are in a suspended state of animation melodically; but isn’t this the very essence of Eichendorff’s text: an endlessly patient knight on guard duty for centuries? We unquestionably have a set of third-related key centers— $e$ ,  $C$ , and  $a$ —but we can’t say that A minor supports  $b^1$ , which is, after all,  $\hat{2}$ . Rather, the key of A is ostensibly waiting in the wings, while  $a:V$  supports  $b^1$ , the upshot being that the central harmonic function across all of “Auf einer Burg” is ultimately the dominant chord in A minor (with the E-minor opening being a modal precursor to this function). Moreover, there can’t be any doubt about the tonal meaning and functional identity of this harmony,

because V resolves to I at the end of the first strophe and the piano interlude's subsequent progression and cadence in A minor is definitive. This also brings the structural upper voice and harmonic support into the same orbit, because in the larger sense of a key, V and  $\hat{2}$  are both unstable and demand a tonally convincing continuation. As the sketch in Figure 10 indicates, the following song, "In der Fremde," provides that continuation.

The most consequential point made by this graph is that there is a precise, definable, and, to my mind, aurally irresistible nexus between these two songs. The reader will note that I verticalized the  $b^1-g^{\sharp 1}$  unfolded third in m. 17, just before the piano interlude, but to better make my structural point, I've retained the unfolding symbol for the analogous motion in the closing passage. I've also leaped ahead somewhat, to a low middleground reading of the first three measures of "In der Fremde," and would ask the reader to consider this music in the score, which is provided in Figure 9.

An important consideration is that the opening piano gesture, in octaves, would be a lucid example of a structural upbeat even without the context of the previous song. The central feature here is simply  $\hat{5}$ , the prolonged E standing for a:V, followed by the tonic, which again supports  $e^2$  at the entrance of the voice. As the graph shows,  $e^2$  is the primary tone (*Kopftone*), indicating that the piece has a normal background, and we also have two motivic references to "Auf einer Burg" in the opening phrase (in both the voice and piano): the falling fifth ( $e^2-a^1$ ), which is motive  $\alpha$ , and motive  $\beta$ , which in this case is a short-term ascending third progression (as opposed to a rising consonant skip filled with a passing tone, the more familiar disposition in "Auf einer Burg"). Even more remarkable, however, is that the opening  $e^2$  in the descant is, in reality, achieved by way of an overlapping from the inner-voice  $e^1$  in the dominant close of "Auf einer Burg," and just as extraordinary is that this is precisely the way  $e^2$  was generated at the beginning

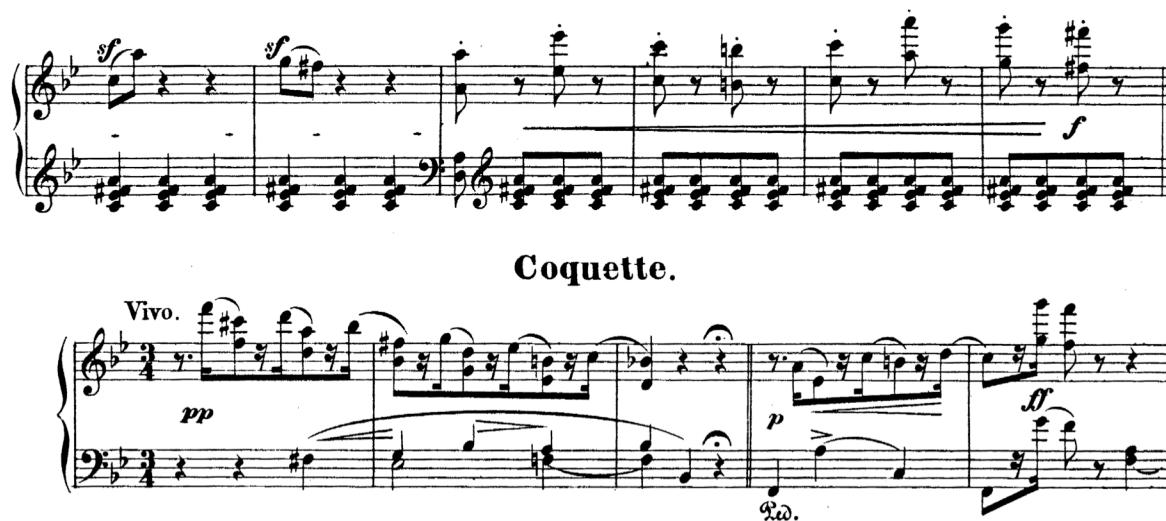
of the piano interlude (mm. 17–18). In the interlude, as we know, there is no linear descent from  $e^2$  in the sense of  $\hat{5}$  to  $\hat{1}$  in A minor; rather, the  $\gamma$  motive moves  $e^2$  down to  $c^2$  in the cadence, the latter being a middleground neighbor returning us to  $b^1$ . Schumann plainly bypasses the possibility of an *Urlinie*, and not least because the passage emerges too late in the work to make genuine structural sense, a point that Lewin makes when he contemplates this possibility himself (176). Instead, whether consciously or unconsciously, Schumann manifestly prepares the listener of “Auf einer Burg” to anticipate the primary tone in the following song, even to the extent of prefiguring just how it will be achieved.<sup>13</sup> Had he adopted an initial ascent or first-order arpeggiation for “In der Fremde,” imagine how individuated the two pieces would have been and how much more enigmatic and tonally obfuscated “Auf einer Burg” would have sounded—quite possibly a musical metaphor taken one step too far. Instead, both songs are profoundly united in a multiplicity of ways: key, harmony, voice leading, motives, and, as I’ve shown, even through the process of overlapping (*Übergreifen* or *Übergreifung*).

One more connection deserves mention, as well. I’ve suggested that the closing unfolded third in “Auf einer Burg,”  $b^1$ – $g^{\sharp 1}$ , seemingly left hanging, is resolved as part of a dominant harmony that bridges the two songs, part of an ultra-attenuated structural upbeat to “In der Fremde,” if you will. In the latter’s opening, we have E and B in the piano’s introductory flourish and include  $G^{\sharp}$  in Figure 10 as an implied note. The motion to the tonic at the entrance of the voice is an unequivocal and immediate resolution of this tonally freighted interval ( $\hat{2}$  and  $\hat{7}$ ), but the interconnection is far more intimate than this. I refer to the very same third,  $b^1$  over  $g^{\sharp 1}$ , that

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<sup>13</sup> I should note that in his path-breaking essay “Rhythm and Linear Analysis: A Preliminary Study,” Carl Schachter offers a different reading of “In der Fremde” in which the primary tone is  $\hat{3}$ . This essay was published in *Music Forum* 4 (New York: Columbia Univ. Press, 1976), 281–334, and the sketch of “In der Fremde” appears in Example 6 on p. 292. The study was subsequently reprinted as Chapter 1 in Schachter’s *Unfoldings: Essays in Schenkerian Theory and Analysis*, ed. Joseph N. Straus (New York: Oxford Univ. Press, 1999), 17–53.

**FIGURE 11.** Schumann, *Carnaval*, op. 9:  
the ending of “Florestan” and beginning of “Coquette,” nos. 6 and 7



appears in m. 2 as part of the ascending third progression (motive  $\beta$ ). Here, finally, we hear this third resolve as one might expect, to  $c^2$  over  $a^1$ , supported by the tonic in A minor.

Finally, this remarkable affiliation between a pair of successive songs in the Eichendorff *Liederkreis* is not without precedent in Schumann's compositions. A dramatic, earlier example is the special coupling between “Florestan” and “Coquette,” nos. 6 and 7 in *Carnaval*, op. 9, Schumann's set of twenty-one piano pieces composed in 1834–35. This inextricable pairing is quoted in Figure 11. Both pieces are in B $\flat$  major, and “Florestan,” which tilts dizzily toward G minor near the end (more correctly, VI in B $\flat$ ), closes in a frenzy with a maniacally repeated and extended diminished-seventh chord built on F $\sharp$ . This is another ending that leaves us on the edge of our seats, although with far more energy and tension than in the quiet, initially inscrutable close of “Auf einer Burg,” but Schumann washes it all away in the most extraordinary manner in the opening three measures of “Coquette.” As the score indicates, this features loping, two-note figures that gently fall as an arabesque toward the cadence, which, although it boils down to IV–V<sup>7</sup>–I in B $\flat$ , is fraught with poignant embellishments. Indeed, this is just the music that Schumann

uses to end “Coquette.” It’s a telling fact that the resolution of the unstable sonority ending “Florestan” leads directly into a cadential progression in the first few measures of “Coquette,” because this is something like what happens in the coupling of “Auf einer Burg” and “In der Fremde.”



Before exploring “In der Fremde”’s structure and its relation to text expression, we should first consider a few of Lewin’s ideas concerning these two songs. He, too, believes that “Auf einer Burg” and “In der Fremde” are connected, but he has serious reservations and qualifications.

[A]lthough the final cadence of *In der Fremde* (2) is very conclusively in functional a-minor (*with tierce de Picardie*), one should be wary, I think, of trying to make the opening measures of that song carry too much weight, in determining the resolution of any ambiguity between a-minor and e-Phrygian just heard in *Auf einer Burg*. [I’ll have more to say about the Phrygian idea later.] Whatever modal ambiguities of this sort one hears in *Auf einer Burg* strongly continue into the beginning of *In der Fremde* . . . to be resolved musically in favor of functional a-minor *only at the end of In der Fremde* [emphasis added]. . . .

Why then analyze *Auf einer Burg* as if it were an independent piece? Here I must plead that *Auf einer Burg* projects such a strong phenomenological presence in its own right, as to render uncomfortable any notion that it is merely—or even primarily—in the nature of a musical prelude (dominant preparation) for the tonic down beat *at the end of the next song* [emphasis added]. To support my plea, I would point out that *Auf einer Burg* is surely the more weighty of the two songs from virtually any aesthetic point of view other than that of an abstract functional dominant-and-tonic. . . . In this connection, though there are certain points of contact between the two poems . . . , these are fairly common materials of the poetic genre at hand, whereas the text of *In der Fremde*, as a putative “resolution” for the preceding poem, is not well able to surmount the overwhelming fact the statue and the wedding party are gone, leaving us with our questions, once *Auf einer Burg* has concluded [172].

Needless to say, I have not been “wary” about drawing a strong dominant–tonic link between “Auf einer Burg” and the opening measures of “In der Fremde,” as the analysis in Figure 10 proves! To the contrary, the bond between “Florestan” and “Coquette” strikes me as an



earlier model for just such a relation. I would agree that “Auf einer Burg” is not exactly a prelude to “In der Fremde”—it does have its own “phenomenological presence”—but I do hear it as a precursor, especially given the tonal expectations encouraged by its piano interlude and the carefully laid preparation for the song’s tension-laden close on V. Even more pointed is my sense of relief in hearing the resolution to the tonic in the second song’s opening, which, after such an intensification of tonal energy and anticipation, is too persuasive in itself to require waiting all the way to the end of “In der Fremde” for confirmation. In a deeper structural sense, I think that Lewin’s point is well taken; but the more immediate resolution on the surface and additional structural relations demonstrated in Figure 10 are ultimately too compelling for me to depend solely on the end of “In der Fremde” for an overall sense of closure.

As Lewin points out, “Auf einer Burg” is the “more weighty” of the two pieces, and he makes the contrast by observing that “the musical *Stimmung* of *Auf einer Burg* is solemn, majestic, labored, learned, and heavily thoughtful, while the music of *In der Fremde* is more scherzoso” (172). This nicely describes the differences in temperament and mood; but for me, the harmonic fulfilment that we sense in the opening of “In der Fremde” is one of the reasons that it provides such a psychological release, and this, at least, is fully in keeping with the song’s more light-hearted ambiance.

In the passage quoted above, Lewin gives rather short shrift to similarities between the respective poems, although for me, these are remarkable. “In der Fremde” transports us to a night scene, but it, too, includes the element of waiting, a distant past, and, like “Auf einer Burg,” a surprise ending. The text, with an English translation, appears in Figure 12.

In my reading, the textual correspondences are striking and too consistent to be nothing more than the standard fare of romantic poetry. Consider that in “Auf einer Burg” we have a

**FIGURE 12.** “In der Fremde”: text  
(translation by Celia Sgroi)<sup>14</sup>

In der Fremde	In a Distant Land
Ich hör’ die Bächlein rauschen, Im Walde her und hin. Im Walde, in dem Rauschen, Ich weiss nicht, wo ich bin.	I hear the streams rushing In the forest here and there. In the forest, in the rushing, I don’t know where I am.
Die Nachtigallen schlagen Hier in der Einsamkeit, Als wollten sie was sagen Von der alten, schönen Zeit.	The nightingales sing Here in seclusion, As if they wanted to say something About the lovely times past.
Die Mondeschimmer fliegen, Als säh ich unter mir, Das Schloss im Tale liegen, Und ist doch so weit von hier!	The rays of the moon are flying As if I saw below The mansion in the valley, But it’s so far from here!
Als müsste in dem Garten, Voll Rosen weiss und rot, Meine Liebste auf mich warten, Und ist doch so lange tot.	As if in the garden, Full of white and red roses, My beloved waits for me, Who has been dead so long.

fortress (“eine Burg”), the woods rustling (“der Wald rauscht”), the Rhine flowing through a valley below, solitary wood-birds singing (“Waldesvögel einsam singen”), a knight’s watch lasting centuries, and a beautiful bride who is weeping (“die schöne Braut, sie weinet”). “In der Fremde” features a castle in a valley (“Das Schloss im Tale liegen”), a rustling forest (“Im Walde, in dem Rauschen”), rushing streams (“die Bächlein rauschen”), nightingales singing about lovely times past (“Die Nachtigallen schlagen . . . / Als wollten sie was sagen / Von der alten, schönen Zeit”), and a waiting loved one, who has, shockingly enough, long been dead (“Meine Liebste auf mich warten, / Und ist doch so lange tot”).

The alignments are so close that one has to wonder if “the lovely times past” refer to a wedding, and if the weeping bride in “Auf einer Burg” is the poet’s dead lover in “In der

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<sup>14</sup> This rendering is appealing both for its accuracy and its literalness. Sgroi’s translations (2005) for all of the texts in Schumann’s op. 39, as well as those from *Dichterliebe*, op. 48, are available online at <<http://www.gopera.com/lieder/translations/schumann.html>>.

Fremde.” Rather than conclude that “In der Fremde” is “not well able to surmount the overwhelming fact the statue and the wedding party [in ‘Auf einer Burg’] are gone” (Lewin, 172), I would point to the mystery of the weeping bride as an ongoing story, hence the open-endedness of the music’s close. For “In der Fremde,” it makes sense that Schumann would compose a normal tonal structure, which includes an *Ursatz* and a full sense of closure at the end, because this reflects the finality of death. This idea would perhaps lend support to Lewin’s idea that the “resolution” for “Auf einer Burg” takes place “only at the end” of “In der Fremde,” but it also explains a poetic narrative in progress that demands an initial resolution before a fully formed tonal structure is even possible.

My response to Lewin’s essay will continue, but this is a propitious moment to begin exploring the structure of “In der Fremde” and its role as an agent of text expression. As a graphic reference, the foreground/low-middleground analysis of this work appears in Figure 13. The analysis in Figure 10 (p. 243) included the critical first three measures of “In der Fremde” in reduced form to illustrate the essential harmonic and voice-leading relationship between the two songs; but here we have the full set of foreground details. The piano’s introductory measure displays a figural idea employed throughout the song, which some have referred to as a *ritornello*. I label this recurrent flourish as motive  $\delta$  to distinguish it from the continued use of motives  $\alpha$  and  $\beta$  from “Auf einer Burg.” I would suggest that Schumann had good reason to exclude the earlier song’s motive  $\gamma$  altogether, namely because  $\gamma$  has the melodic capacity to weaken cadence points, an important aesthetic factor in “Auf einer Burg” that doesn’t apply to “In der Fremde.” (For  $\gamma$ , see the sketches in Figures 3 and 5 on pp. 224 and 230.)

Among the many memorable and distinctive comments in Lewin’s essay is that the opening of “In der Fremde” cleaves to the same tonal/modal antipathies that mark “Auf einer Burg”:

FIGURE 13. "In der Fremde": foreground/low middleground sketch

The musical score for "In der Fremde" is presented in four systems, each consisting of a treble and bass staff. The notation includes various musical symbols such as notes, rests, and accidentals, along with structural labels and annotations.

**System 1:** Labeled **A**. It begins with a first ending bracket (1.) and a delta symbol ( $\delta$ ). The treble staff has a second ending bracket (2.) and a delta symbol ( $\delta$ ). The bass staff has a delta symbol ( $\delta$ ). The system concludes with a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). Below the staves, the harmonic progression is indicated as **a: (V) I — 6 IV V I (V)**.

**System 2:** Labeled **B**. It begins with a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). The treble staff has a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). The bass staff has a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). The system concludes with a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). Below the staves, the harmonic progression is indicated as **I — 6 IV V I V<sup>b</sup>**.

**System 3:** Labeled **(6)** and **(7)**. It begins with a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). The treble staff has a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). The bass staff has a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). The system concludes with a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). Below the staves, the harmonic progression is indicated as **(6) (7)**.

**System 4:** Labeled **Reprise (A+B)**. It begins with a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). The treble staff has a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). The bass staff has a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). The system concludes with a delta symbol ( $\delta$ ) and a delta symbol ( $\delta$ ). Below the staves, the harmonic progression is indicated as **(7) (6) I — 6**.

FIGURE 13. (continued)

Figure 13 (continued) shows musical notation for measures 34 through 39. The notation includes a treble staff and a bass staff. Above the treble staff, a sequence of notes is labeled with solfège symbols: (5̂), 4̂, 3̂, 2̂, 1̂. A bracket labeled  $\delta'$  spans measures 35-36. Below the bass staff, a sequence of chords is labeled: a:  $V^6$ , I, IV, V,  $IV^6$ ,  $I^6$ , VI,  $IV^7$ , V, I. A bracket labeled  $\delta''$  spans measures 38-39. The section is labeled "Codetta".

The enactment here, I believe, is something like this: so far, the narrating persona (say “Eichendorff”) has identified himself with the statue—austere, remote, disinvolved, regarding the scene *sub specie aeternitatis*. But as the persona stops narrating, the piano enacts his sudden awareness of himself as existing in the present, where it should “resolve.” But so far as the statue himself is concerned, the cadential E triad [my dominant in A minor] is a perfectly static tonic, requiring no further action whatsoever. [I plead guilty, because I could never hear it in this way.] As the statue hears the piano interlude—if he hears it at all—the a-minor harmony is merely an idiomatic means of prolonging a Phrygian E tonic. And the narrating persona, to the extent he continues identifying with the “observing” statue, can hear the a-minor interlude in the same way. We only know that the persona has trouble in doing so, because the a-minor harmony comes in too soon, too anxiously, in measure 17 [of “Auf einer Burg”]. And our impression is later reinforced by the way in which the opening of *In der Fremde* resumes and develops the anxious toggling between a-tonic and e-tonic that we heard over measures 18–25 of *Auf einer Burg* [177].

Delaying for the moment any response to the assertion that “Auf einer Burg” ends with “a perfectly static tonic, requiring no further action whatsoever,” I first address the “anxious toggling between a-tonic and e-tonic” at the outset of “In der Fremde.” Although this reference

entails no specific analysis, my sketch in Figure 13 demonstrates just what Lewin means, although in Schenkerian-analytical terms. We can't deny that there is an "anxious toggling" back and forth, but my plea is that the E-minor triad is not really a "tonic" but a non-functional dominant chord whose role, ultimately, is essentially linear in nature. Very locally, of course, E minor is tonicized, but the passage that spans mm. 10–17 (my B section) effectively unties the hawser of tonality, so to speak. Here, the music temporarily leaves the dock for open water, where the direction is clear contrapuntally but the harmonic progressions known so well on the shore are simply missing. This does, in fact, have a structural relation to the text, because it subtly reflects the idea that the poet doesn't quite know where he is—note that this passage immediately follows the phrase "ich weiss nicht, wo ich bin." The analytical sketch tells the story, which includes a reluctance to put much harmonic emphasis on "E minor," as if it were on an equal footing with the global tonic, which in this song is indisputable.

Concerning this passage right after "ich wieiss nicht, wo ich bin," the  $g^1$  tailnote of motive  $\beta$  in m. 9 (= m. 5), which derives harmonic support from the E-minor triad, continues in m. 10 as the headnote of an unfolding up to  $e^2$ . The end result is a non-functional seventh chord over A. After this idea is followed by motive  $\delta$  and repeated, the inner-voice seventh resolves in m. 14 to  $f^1$  over  $A\flat$ , a sixth, and the bass descent to G forms yet another seventh, now with the fixed  $f^1$ . Only the overlapping of  $f^1$  to  $f^2$  in m. 17, which is part of the repeated motive  $\delta$  in the upper voice, and  $f^2$ 's subsequent resolution to  $e^2$  over the  $g^\sharp$  in the bass bring us the final sixth in this secondary LIP (7–6, 7–6). The point is that through this contrapuntal pattern and the cessation of strong harmonic relations, Schumann is portraying the disorientation of the poet, yet this also paves the way back to A minor and  $e^2$  in the descant, which sets the stage for the reprise of the A and B sections (mm. 18–33 = 2–17).

As the reader can confirm, the passage beginning in m. 34, which I label section C in Figure 13, brings about the structural close of the song and presents a complete linear descent in the *Ursatz* from  $\hat{5}$  to  $\hat{1}$ , a none-too-surprising way to set the repeated last line, “und ist doch lange todt, und ist doch lange todt.” I admit that it remains a challenge to square the *sans-souci* mood of the music, almost Schubertian with its repeated musical phrases so closely aligned with the metric scanning of the stanzas, with the stark closing of the poem. I don’t have a satisfactory answer for this aesthetic conflict, which resides close to the musical surface and involves a wide palette of musical attributes that embody the overall “scherzoso” quality that Lewin cites. On a deeper level, however, it seems clear to me that the open-ended closing for the weeping bride is here answered by a closed ending for the dead lover. A subtle detail in the codetta is Schumann’s use of a variant of motive  $\delta$  in the bass to create a plagal cadence, fully consistent with the text.

The higher-level graph in Figure 14 clarifies relations that aren’t so apparent closer to the foreground, the main one being the middleground structure of the B section, mm. 10–17, which follows the line “ich weiss nicht, wo ich bin.” Here the  $g^1$ – $e^2$  unfolding shown in m. 10 of Figure 13 (p. 251) has been verticalized, yet this lower-level tailnote on  $e^2$  is actually the headnote of a substantially higher-level unfolding leading to the inner-voice  $b^1$  in m. 17. At that point, the last seventh in the secondary (7–6) LIP, which is the inner-voice  $f^1$ , overlaps to  $f^2$ , and its resolution to  $e^2$  not only completes the pattern but also regenerates the primary tone. This also brings about the return of a functional harmony in A minor,  $V^6$ , and its expected resolution to the tonic opens the door to the completion of the song’s *Ursatz*, as shown in the graph.

We can gain a sense of the comparative anatomies of these two songs by reviewing the graphs in Figures 8 (p. 238) and 14, which are, more or less, on analogous levels of high middleground. Missing from Figure 8 are the imitative motives  $\alpha$  and  $\beta$  in “Auf einer Burg”’s

FIGURE 14. “In der Fremde”: high middleground/background sketch

Figure 14 shows a musical score for "In der Fremde" with high middleground/background sketch. The score is divided into two systems. The first system (measures 1-17) is divided into sections A and B. Section A (measures 1-5) features a treble staff with notes 1. (5), 2., 3., 4., and 5. (5), and a bass staff with notes 1., 2., 3., 4., and 5. (5). Section B (measures 10-17) features a treble staff with notes 10. (5), 11., 14., 15-16., and 17. (5), and a bass staff with notes 10., 11., 14., 15-16., and 17. (5). The second system (measures 34-39) is labeled "Reprise (A+B)" and "Codetta". It features a treble staff with notes 34. (5), 35., 36., 37., and 38., and a bass staff with notes 34. (5), 35., 36., 37., and 38. The score includes various musical notations such as notes, rests, and accidentals, as well as structural labels like "A", "B", "C", "Reprise (A+B)", and "Codetta". The bass staff includes a sequence of chords: I, V, IV<sup>6</sup>, V, I, IV, and I.

opening, but we know that they exist closer to the foreground (for those, see the graphs in Figures 3 and 5, pp. 224 and 230), and they are front and center in the analysis of the subsequent song in Figure 13. The descending third progression in the A section of “Auf einer Burg” leads to  $g^1$  supported by C:I, and the ascending  $\beta$  motive at the end of “In der Fremde”’s A section leads to the same pitch, although supported by a: $V^{\sharp}$ . In the B section of “Auf einer Burg,”  $g^1$  serves as the descant’s first pitch in a complex of LIPs, the principal pattern being 10–10 and the secondary pattern being (5–6). The analogous  $g^1$  in “In der Fremde” escapes into the realm of inner voices, but LIPs still control its B section, the primary pattern again being 10–10 and the secondary pattern being (7–6). In addition, the B section in “Auf einer Burg” entails a middle-ground unfolding from  $b^1$  to  $g^{\sharp 1}$  supported by a: $V$ , whereas “In der Fremde”’s B section



FIGURE 15. “In der Fremde”: background sketch

a: V I V<sup>#</sup> V<sup>6</sup> I IV<sup>6</sup>—<sup>7</sup> V I —<sup>#</sup>

articulates an unfolding from  $e^2$  to  $b^1$ , also supported by a:V. The piano interlude in “Auf einer Burg” finally establishes the global tonic, A minor, and begins with the overlapping  $e^2$  in the descant. Similarly, the end of the B section in “In der Fremde” re-establishes  $e^2$  through an overlapping, although this is the primary tone in this case, and the song ends with a complete structural descent. “Auf einer Burg” simply ends with the global dominant. The point of this litany of striking structural comparisons is that despite the different moods in these songs, their kinship runs considerably deeper than has been supposed.

As a gesture toward completeness, I offer a background sketch of “In der Fremde” in Figure 15. In this more condensed view of the song’s structure, the overlapping from  $e^1$  to  $e^2$  moving into m. 10 is made explicit (this isn’t shown in the lower-level graph in Figure 13). A deeper-level detail is that the principal 10–10 LIP in the B section, mm. 10–17, takes  $e^2$  down to  $b^1$ , part and parcel of the unfolded fourth taking place on the middleground level, as shown in Figure 14. By definition, this descends into an inner voice, which is made obvious by the regenerated  $e^2$  at the end. On the highest level, therefore, even the main LIP in tenths is contextually a “secondary” pattern, because there is really only one note being prolonged in the structural upper

voice on this level, and this is the primary tone,  $e^2$ . This explains why the figures for both patterns appear within parentheses in Figure 15.



Finally, I now turn to Lewin's main thesis, which is summarized by the heading of the closing section of his essay: "A Phrygian Voice-leading *Ursatz* for the Strophe of *Auf einer Burg*" (173–177). To support this idea, he refers to the kinds of "cadence formulas categorized as 'Phrygian' by German theorists of the seventeenth and eighteenth centuries (e.g., Herbst, Printz, Walther, Kirnberger, Türk, Knecht, and Vogler)" (173), and then goes on to say:

Other gestural aspects of the strophe, besides its final cadence [which, again, he later asserts is "a perfectly static tonic, requiring no further action whatsoever" (177)] are also stylistically typical of large-scale Phrygian organization. In particular, strong opening and final cadences on  $e$ , together with secondary medial cadences on  $C$  and  $a$ , are very frequently found in compositions of the sixteenth century commonly classified as Phrygian. Idiomatic, too, is the use of  $a$ -minor harmony as a means to prolong cadential  $e$  harmony, as it does to some extent approaching the final cadence of the strophe, and also—particularly—as it does in the piano interlude between the two strophes. Then, too, the pairing of principal motif entries "on  $e$ " with imitative entries "on  $a$ "—as in measure 3 . . . is a characteristic aspect of sixteenth-century "Phrygian" rhetoric [173].

All of this comports with our experiences of sixteenth-century works in Phrygian mode, but the question is whether these attributes are so strong in "*Auf einer Burg*" that they completely overthrow the powerful tonal implications. In all fairness, Lewin is fully cognizant of these tonal forces and anticipates the main view that I've explored in this essay, although it ultimately makes him uneasy. Consider this telling quotation:

Although the gestural features discussed in the preceding paragraph are more than impressionistic, they seem only incidental side-references, poetic obeisances if you will, in the context of a Schenkerian analysis that would hear both strophes of *Auf einer Burg* as prolongations of functional  $a$ -minor  $V$  harmony in a Schenkerian sense, preliminary features within a functional  $a$ -minor *Ursatz* whose *Kopftön* occurs (only) within *In der Fremde* and whose final closure occurs (only) at the end of *In der Fremde*. [This conforms to my analysis, except that I hear a resolution for *Auf einer Burg*'s  $V$  chord at

the beginning of *In der Fremde*, not at the end.] I intend to show now that if we restrict our musical attention to the strophe of *Auf einer Burg* itself [this would exclude the piano interlude], *as a smaller context for musical perception* [emphasis added], then we can find a quasi-Schenkerian voice-leading *Ursatz* for that strophe-in-itself, which can legitimately be asserted as a “Phrygian *Ursatz*” for that context.

Such a voice-leading *Ursatz* can only be “quasi” Schenkerian, because its structural upper voice, corresponding to events in the vocal part of the song, can not close on the tone E. The vocal part, that is, does not carry a large-scale structural  $\hat{3}-\hat{2}-\hat{1}$  descent (or other conjunct decent to  $\hat{1}$  from  $\hat{8}$  or  $\hat{5}$ ) that would be well-informed as a Schenkerian *Urlinie* for a Phrygian structure [173–174].

We can fully agree with Lewin’s main points here, although most Schenkerians would be troubled by the very concept of a Schenkerian *Urlinie* for a Phrygian structure. This is simply because there is no underlying theory of harmony for modal music, and Schenkerian analysis vitally depends on the harmonic language of tonality by definition. Not to misconstrue or trivialize what Lewin seems to say, but he is focusing on an *Urlinie*, not an *Ursatz*, and the former ultimately depends on the latter for its meaning. Again, this is a central tenant of Schenkerian analysis, and if we divorce the two, then we’re really focusing attention on descending stepwise motions transpiring over longer spans of music than note-to-note. Technically, these could occur even in atonal music.

I could be wrong, but my sense is that because Lewin hears the final E-major triad at the end of “Auf einer Burg” as “a perfectly static tonic, requiring no further action whatsoever,” and because further he thinks that “the a-minor harmony is merely an idiomatic means of prolonging a Phrygian E tonic” (177), he feels comfortable with the notion of a Phrygian *Urlinie* in “Auf einer Burg.” He wants to confine this solely to the strophe “as a smaller context for musical perception,” but since this is repeated and excludes only the four-measure piano interlude (consequential as this might be), this amounts to practically the entire piece.

**FIGURE 16.** Example 9.1 from Lewin's *Studies in Music with Text*, 174

Figure 16 consists of five musical sketches, labeled (a) through (e), arranged vertically. Each sketch is written on a grand staff (treble and bass clefs).  
 (a) Labeled with measure numbers 1, 5, 9, 15, and 16. It shows a melodic line in the treble clef and a bass line in the bass clef. A bracket under the treble line from measure 1 to 16 is labeled "(minor) or (Phrygian)".  
 (b) Labeled with measure numbers 8.5, 10, 12, and 14. It shows a melodic line in the treble clef and a bass line in the bass clef.  
 (c) Labeled with measure numbers 1, 14, and 16. It shows a melodic line in the treble clef and a bass line in the bass clef.  
 (d) Labeled with measure numbers 3, 2, and 1. It shows a melodic line in the treble clef and a bass line in the bass clef.  
 (e) Labeled with measure numbers 3, 2, and 1. It shows a melodic line in the treble clef and a bass line in the bass clef.

His idea is that the strophe is structured around a Phrygian *Urlinie* that reads  $\hat{3}-\hat{2}-\hat{1}$  in an inner voice. As he writes: “While not in conformity with Schenker’s restrictions on the behavior of a functionally tonal *Urlinie*, my inner-voice *Urlinie* is idiomatic, where it lies, as a structural tenor or cantus firmus for a composition in Renaissance modal style” (174). His accompanying illustrations appear in Figure 16.

The interested reader will want to review Lewin’s entire commentary on the reductions in Figure 16 (his Example 9.1, 174), but at the risk of mischaracterization, I will briefly comment on these sketches myself. First, he calls (a) a “high-level middleground sketch” (174), and this could be favorably compared to my graph in Figure 8 (p. 238). We can see that the upper profile of his sketch conforms to that of my graph, although lacking the Schenkerian analytical inter-

pretations, and that the closing E-major triad with  $g^{\sharp 1}$  in the soprano could either lead to the A-minor chord (as I think it does in the piano interlude) or simply persist (as it does at the end and where Lewin hears only an E-Phrygian tonic). Also note that his reduction at (b) agrees with the LIP in my graph (mm. 9–14). But consider how we would reconcile his three sketches asserting an inner-voice Phrygian *Urlinie* with my analysis in Figure 8. This requires us to make a long-term aural connection between the inner-voice  $g^1$  in the opening E-minor triad and  $f^1$  below the unfolding's headnote ( $b^1$ ) in m. 15. Sketches (c), (d), and (e) all include—or at least imply—the presence of  $b^1$  in the descant, but what are the factors that mark for consciousness such a long-term stepwise relation between members of the inner-voice structure? With so many contrapuntal and harmonic forces in progress over this span of fifteen measures, all of which command our attention as tonal listeners, I confess that I am unable to make this aural leap.

Of special interest is that with respect to his Phrygian reading, Lewin cites comments made by Carl Schachter in private correspondence. As he remarks: “Unconvinced by my Phrygian analysis of the strophe-in-itself, Schachter pointed out that the  $F^{\flat}$  on my Examples 9.1(c)(d)(e) [see Figure 16 above] is not sung by the voice. . . . Some fourteen years later [the discussion took place in 1983], I still do not have a response to Schachter's criticism that satisfies me” (175). Wouldn't we also expect the characteristic melodic relation between F and E to assume a prominent role on the surface of a piece in Phrygian mode? Consider that the opening measures of “Auf einer Burg” are full of  $F^{\sharp}$ s, one of the reasons that the opening sounds like E minor locally and, retrospectively, as minor V in A minor globally, not E Phrygian.

I close with one final point and example. Earlier in his essay, Lewin asserts that “Schumann was sensitive to intrinsic ambiguities between modern minor half-cadences and full cadences in a sixteenth-century sort of Phrygian mode, and willing to exploit them when the

musical device suited his dramatic purposes” (171). I will add that Schumann was also known to admire Palestrina’s music, in particular. We can only speculate about how Palestrina might have perceived the ending of Schumann’s “Auf einer Burg,” but little guesswork is required if we consider a cadence in one of his own works. In Figure 17, I’ve transcribed for grand staff the ending of the Credo from Palestrina’s *Missa Ave regina cælorum* and—being hopelessly corrupted by the tonal language—have undertaken the benighted task of trying to analyze it as a tonal work.

Wrongheaded though it may be, we hear a good deal of IV moving to what sounds like I in C major; a deceptive resolution, V–VI; and a cadential  $\frac{6}{4}$  chord that resolves and then oddly leads to I<sup>6</sup>, not to I. Finally, we have a “half cadence,” which, for the tonal listener, all but begs for the resolution shown in Figure 17b. But in reality, the anticipation note is merely a neighbor to b<sup>1</sup> in the descant; and the close, far from being C:V, is, in fact, Mixolydian, as shown in Figure 17c. Based on counterpoint, mode, rhythm, and all other musical variables, Palestrina would have had a full sense of closure with this cadence, but how many of us could? Lewin’s sensibility, which I believe is unassailable, is that he is “uncomfortable with a reading that does not allow any possibility of musical closure at the end of *Auf einer Burg*” (175) and this is possibly how Palestrina would have heard it, too.

I am reminded of an especially germane and frank comment in Robert Gauldin’s textbook on sixteenth-century counterpoint that belies the fact that most of us can’t hear music from this era in quite the same way as renaissance listeners would have heard it: “[T]he overall harmonic characteristics of this style are somewhat difficult to describe. It is certainly not functional in the common-practice sense, although one will often find what amounts to a ‘IV–V–I’ progression occurring at many cadences points. . . . The overall *tonal feeling* [emphasis added]

**FIGURE 17.** Palestrina, *Missa Ave regina cœlorum*:  
closing of the Credo transcribed for grand staff with tonal implications

(a) score

The musical score for the closing of the Credo is presented in three systems, each on a grand staff (treble and bass clefs). The first system (measures 89-93) shows a sequence of chords with tonal implications: C? (measure 89), [V] (measure 90), II<sup>6</sup> (measure 91), IV (measure 92), I (measure 93), V (measure 94), II (measure 95), IV (measure 96), and I (measure 97). The second system (measures 94-96) continues the sequence: VI (measure 94), I (measure 95), V<sup>dec.</sup> (measure 96), VI (measure 97), V (measure 98), and I (measure 99). The third system (measures 97-99) shows the final chords: V (measure 97), I (measure 98), and I (measure 99). The score includes various musical notations such as notes, rests, and accidentals, as well as figured bass notation (e.g., 6, 8, 10, 5, 4, 3, 6, 5, 4, 3, 7, 6, 4, 3, 2, 1) and dynamic markings (e.g., p, N, P).

(b) tonal cadence

The musical score for the tonal cadence is presented in two systems, each on a grand staff. The first system (measures 97-98) shows the chords: V (measure 97) and I (measure 98). The second system (measures 99-100) shows the final chords: V (measure 99) and I (measure 100). The score includes various musical notations such as notes, rests, and accidentals, as well as figured bass notation (e.g., 4, 3, 2, 1) and dynamic markings (e.g., N, P).

(c) Mixolydian close

The musical score for the Mixolydian close is presented in two systems, each on a grand staff. The first system (measures 97-98) shows the chords: V (measure 97) and I (measure 98). The second system (measures 99-100) shows the final chords: V (measure 99) and I (measure 100). The score includes various musical notations such as notes, rests, and accidentals, as well as figured bass notation (e.g., 4, 3, 2, 1) and dynamic markings (e.g., N, P).

is one of extreme restlessness, with only the cadences serving to stabilize the movement momentarily.”<sup>15</sup> In short, our understanding of tonality irrevocably affects (I might say, distorts) how most of us perceive such music. We can still ask the burning question: did Schumann have a sense of closure at the end of “Auf einer Burg,” or was it a half cadence in A minor for him? But this, of course, invokes the intentional fallacy. Ultimately, my analyses reflect my way of understanding and appreciating these pieces, just as David Lewin’s analyses reflect his own.

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<sup>15</sup> Robert Gauldin, *A Practical Approach to Sixteenth-Century Counterpoint* (Prospect Heights, IL: Waveland Press, 1995), 143.



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## ABSTRACT

In the great store of masterful songs that came from the pen of Robert Schumann (1810–56) is his second song cycle entitled *Liederkreis* (op. 39, the first one being op. 24), a particularly rich trove of innovative settings of poems by Joseph Eichendorff (1788–1857). Composed in 1840, Schumann’s so-called year of song and the year that he married the virtuoso pianist Clara Wieck (1819–96), these works have not received the degree of scholarly attention, and particularly not the level of analytical focus, that they really deserve. An exception would be the startling and tonally problematic setting of “Auf einer Burg,” the seventh song in the cycle and the centerpiece of an eponymous essay that appeared as a chapter in David Lewin’s posthumous *Studies in Music with Text* (Oxford University Press, 2006). Lewin’s thesis, in brief, is that this song has an E-Phrygian *Urlinie* and that it ends with “a perfectly static tonic, requiring no further action whatsoever.” The present author’s analysis stands in direct opposition to this provocative view and posits a hearing that demands a structural coupling between this piece and the following song, “In der Fremde.” (Lewin anticipates this possibility but remains obdurately skeptical.) In particular, this article documents that an array of motivic, harmonic, and structural forces is so compelling that, the author holds, few tonal listeners could hear the first song as a strictly individuated work. Moreover, the analysis reveals that a feature critical to this perception is that “Auf einer Burg,” while still governed by tonal principles, is aberrant to the extent of lacking a traditional background. The resulting discussion amounts to a kind of analytical dialog between Lewin’s hearing and the author’s own. Besides presenting a complete Schenkerian analysis of both songs, the article demonstrates that text painting and motives in these pieces transpire not only on the musical surface but also on deeper levels of musical structure.

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## ABOUT THE AUTHOR

J. Randall Wheaton holds a B.A. from Ohio Wesleyan University, a B.M. from Ohio State University, an M.M. from the University of Michigan, and M.Phil and Ph.D. degrees from Yale University. Formerly an organic chemist (cancer research), he studied privately with clarinetist

David Shifrin at the University of Michigan, where his master's thesis focused on Alexander Scriabin. John Clough was his thesis advisor. His doctoral studies at Yale were principally with Allen Forte, David Lewin, and Claude Palisca, and his 1988 dissertation (directed by Forte) was on Gustav Mahler's *Der Abschied* and the phenomenon of symmetry in pitch-class sets. A former editor of the *Journal of Music Theory*, he has served on the faculties of Yale, the University of Connecticut, Northern Kentucky University (as Chair of the Department of Music), and the University of Cincinnati College-Conservatory of Music (CCM). Nominated for distinguished teaching awards at both Yale and CCM, he joined the theory faculty at the James Madison University School of Music in 2007. His research has included studies on such topics as segmental invariance in the twelve-tone system, Mahler's *Der Abschied*, Schumann's *Carnaval*, and C. P. E. Bach's improvisational style. His main interests concern Schenkerian analysis, set theory, the history of theory, and works from the nineteenth and early twentieth centuries.

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